

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of Steinberg

Application No. 09/835,106

Attorney Docket No.: R&H 02-12; DN: 51922 (ACT - 126/127)

Filed: April 13, 2001

For: OPTICAL WAVEGUIDE SWITCH

Examiner: Michael C. Zaroll

Group Art Unit: 2839

CERTIFICATE OF MAILING UNDER 37 C.F.R. § 1.8(a)

I hereby certify that this Correspondence is being deposited on the date identified below with the United States Postal Service as first-class mail in an envelope properly addressed to Commissioner for Patents, Alexandria, VA 22313-1450

3.9.2004

Date of Certificate

C. Donahue

Cristin Donahue

Commissioner for Patents
Alexandria, VA 22313-1450

INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97

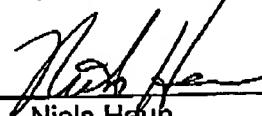
In compliance with the duty of disclosure set forth in 37 C.F.R. § 1.56, Applicants are submitting herewith a Form PTO-1449 and a copy of the references listed thereon. This Information Disclosure Statement is being filed more than three months after the filing date of the RCE. However, Applicants have not yet received an action on the merits of the application. Accordingly, Applicants believe that no fee is required pursuant to 37 C.F.R. §1.97 (b) (3). In the event a fee is required, the Commissioner is authorized to charge the required fees to deposit account no. 04-1406. A duplicate copy of this sheet is included for fee processing, if necessary.

Applicants respectfully request full and proper consideration of the listed information during examination of the application, and that the listed information be printed on any patent that issues therefrom.

Respectfully submitted,

DANN, DORFMAN, HERRELL & SKILLMAN
A Professional Corporation
Attorneys for Applicant(s)

By



Niels Haun
PTO Registration No. 48,488

Telephone: (215) 563-4100
Facsimile: (215) 563-4044
Enclosures - Form PTO-1449
Copies of references listed on PTO - 1449

**INFORMATION
DISCLOSURE
STATEMENT**

SHEET 1 OF 1

Complete if known

Application Number: 09/835,106

Filing Date: April 13, 2001

First Named Inventor: Steinberg

Group Art Unit: 2839

Examiner Name: Michael C. Zarroli

Attorney Docket Number: R&H 02-12;
DN: 51922 (ACT - 126/127)

UNITED STATES PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	PATENT NUMBER	ISSUE DATE MM-DD-YYYY	FIRST NAMED INVENTOR
		5727099	03/10/1998	Harman
		5767991	05/26/1998	Harman
		6625356	09/23/2003	Ticknor et al.

FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	DOCUMENT NUMBER	COUNTRY OR REGION	DATE OF PUBLICATION MM-DD-YYYY	FIRST NAMED INVENTOR OR APPLICANT
		DE 3927441 (with English translation)	Germany	02/21/1991	Eicher, Joachim et al.
		EP0476241 (with English translation)	European Office	03/25/1992	Hirschmann, Richard

OTHER PRIOR ART - NON-PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	Include name of the author (In Capital Letters), title of the article (when appropriate), title of the item(book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

EXAMINER'S SIGNATURE

DATE
CONSIDERED

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 5609. Draw a line through citation if citation not in conformance and reference not considered. Include a copy of this form with next communication to applicant.

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of **Steinberg**

Application No. 09/835,106

Attorney Docket No. Shipley 02-12

Filed: April 13, 2001

For: OPTICAL WAVEGUIDE SWITCH

Examiner: Michael C. Zarroli

Group Art Unit: 2839

CERTIFICATE OF TRANSMISSION UNDER 37 C.F.R § 1.8(a)

I hereby certify that this Correspondence is being transmitted on the date identified below to the Patent and Trademark Office in accordance with § 1.6(d).

January 14, 2004

Date of Certificate of Transmission

Cristin Donahue
Cristin Donahue

Commissioner for Patents
Alexandria, VA 22313-1450

**INFORMATION DISCLOSURE STATEMENT
UNDER 37 C.F.R. § 1.97**

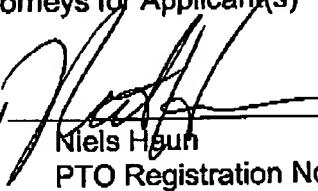
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Respectfully submitted,

DANN, DORFMAN, HERRELL & SKILLMAN
A Professional Corporation
Attorneys for Applicant(s)

By


Niels Heun
PTO Registration No. 48,488

Telephone: (215) 563-4100

Faxsimile: (215) 563-4044

Enclosures - Form PTO-1449

Copies of references listed on PTO - 1449

**INFORMATION
DISCLOSURE
STATEMENT**

SHEET 1 OF 1

Complete if known

Application Number: 09/835,106

Filing Date: April 13, 2001

First Named Inventor: Steinberg

Group Art Unit: 2839

Examiner Name: Michael C. Zarroli

Attorney Docket Number: Shipley 02-12

UNITED STATES PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	PATENT NUMBER	ISSUE DATE MM-DD-YYYY	FIRST NAMED INVENTOR

FOREIGN PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	DOCUMENT NUMBER	COUNTRY OR REGION	DATE OF PUBLICATION MM-DD-YYYY	FIRST NAMED INVENTOR OR APPLICANT
		JP1999305151A	Japan	11/05/1999	Iwashima, Tetsu

OTHER PRIOR ART - NON-PATENT DOCUMENTS

EXAMINER'S INITIALS	CITE NO.	Include name of the author (In Capital Letters), title of the article (when appropriate), title of the item(book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published

EXAMINER'S
SIGNATURE

DATE
CONSIDERED

EXAMINER: Initial If reference considered, whether or not citation is in conformance with MPEP §609. Draw a line through citation if citation not in conformance and reference not considered. Include a copy of this form with next communication to applicant.

Acknowledgement Receipt

UNITED STATES PATENT AND TRADEMARK OFFICE
ACKNOWLEDGEMENT RECEIPT

Electronic Version 1.1

Stylesheet Version v1.1.1

Title of Invention	OPTICAL WAVEGUIDE SWITCH
--------------------	--------------------------

Submission Type: Information Disclosure Statement
 Application Number: 09/835106 *09/8
 EFS ID: 50591

Server Response:	Confirmation Code	Message
	ISVR1	Submission was successfully submitted – Even if Information or Warning Messages appear below, please do not re-submit this application.
	ICON1	4209
	ISYS5	Filename= N/A BusinessRule= Validation System/Function Information. #Supporting Msg: Server unable to validate Confirmation/Application numbers at this time. They will be checked by PTO personnel later.

First Named Applicant: Dan Steinberg

Attorney Docket Number: Shipley 02-12

Timestamp: 2003-11-13 14:24:45 EDT

From: US

File Listing:

Doc. Name	File Name	Size (
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us-ids	us-ids.xsl	
us-fee-sheet	51922-usfees.xml	
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package-data	us-package-data.xsl
Total files size	

Message Digest: 83d77084da577413f399a63704da95351a549982

Digital Certificate Holder cn=Niels Haun,ou=Registered

Name: Attorneys,ou=Patent and Trademark
Office,ou=Department of Commerce,o=U.S.
Government,c=US

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18
Stylesheet Version v18.0

Title of Invention	OPTICAL WAVEGUIDE SWITCH					
Application Number:	09/835106			*09/835106*		
Confirmation Number:	4209					
First Named Applicant:	Dan Steinberg					
Attorney Docket Number:	Shipley 02-12					
Art Unit:	2839					
Examiner:	Michael C. Zaroli					
Search string:	(6320997 or 6393174 or 6393175).pn.					
US Patent Documents						
Note: Applicant is not required to submit a paper copy of cited US Patent Documents						
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class Subclass
	1	6320997	2001-11-20	Dautartas et al.		
	2	6393174	2002-05-21	Karaguleff et al.		
	3	6393175	2002-05-21	Jurbergs et al.		

Remarks

Note: Remarks are not for responding to an office action.

In the event a fee is required the Commissioner is authorized to charge any underpayment or credit any overpayment to the account of the undersigned attorneys, Account No. 04-1406.

Signature

Examiner Name	Date
---------------	------

03/11/04 11:15 FAX 215 563 4044

DANN DORFMAN PHILA

Information Disclosure Statement

043
Page 2 of 2

Fee transmittal

FEE TRANSMITTAL**Electronic Version v08****Stylesheet Version v08.0**

Title of Invention	OPTICAL WAVEGUIDE SWITCH
Application Number:	09/835106 *09/835106*
Date:	2001-04-13
First Named Applicant:	Dan A. Steinberg
Attorney Docket Number:	Shipley 02-12
Art Unit:	2839
Examiner:	Michael C. Zarroli

TOTAL FEE AUTHORIZED \$180

Patent fees are subject to annual revisions on or about October 1st of each year.

BASIC FILING FEE

Fee Description	Fee Code	Amount \$	Fee Paid \$
Submission Of Information Disclosure Stmt Fee	1806	180	180

AUTHORIZED BILLING INFORMATION

The commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit account number: 041406

Access Code ****

Deposit name: Dann Dorfman Herrell and Skillman

Deposit authorized name: Niels Haun

Signature: /nh/

Date (YYYYMMDD): 2003-11-13

03/11/04 11:15 FAX 215 563 4044

DANN DORFMAN PHILA

045
Page 2 of 2

Fee transmittal

Charge Any Additional Fee Required Under 37 C.F.R. Sections 1.16 and 1.17.

UNITED STATES PATENT AND TRADEMARK OFFICE
ACKNOWLEDGEMENT RECEIPT

Electronic Version 1.1

Stylesheet Version v1.1.1

Title of Invention	OPTICAL WAVEGUIDE SWITCH																									
Submission Type:	Information Disclosure Statement																									
Application Number:	09/835106 (02-12)	*09/8																								
EFS ID:	48653																									
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ICON1	4209																									
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First Named Applicant:	Dan Steinberg																									
Attorney Docket Number:	02-12																									
Timestamp:	2003-10-01 17:02:24 EDT																									
From:	US																									
File Listing:	<table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 30%;">Doc. Name</th> <th style="width: 40%;">File Name</th> <th style="width: 30%;">Size (B)</th> </tr> </thead> <tbody> <tr> <td>us-ids</td> <td>126-usidst.xml</td> <td></td> </tr> <tr> <td>us-ids</td> <td>us-ids.dtd</td> <td></td> </tr> <tr> <td>us-ids</td> <td>us-ids.xsl</td> <td></td> </tr> <tr> <td>package-data</td> <td>126-pkda.xml</td> <td></td> </tr> <tr> <td>package-data</td> <td>package-data.dtd</td> <td></td> </tr> <tr> <td>package-data</td> <td>us-package-data.xsl</td> <td></td> </tr> <tr> <td align="right" colspan="2">Total files size</td> <td></td> </tr> </tbody> </table>		Doc. Name	File Name	Size (B)	us-ids	126-usidst.xml		us-ids	us-ids.dtd		us-ids	us-ids.xsl		package-data	126-pkda.xml		package-data	package-data.dtd		package-data	us-package-data.xsl		Total files size		
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package-data	us-package-data.xsl																									
Total files size																										

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Digital Certificate Holder: cn=Niels Haun,ou=Registered

Name: Attorneys,ou=Patent and Trademark

Office,ou=Department of Commerce,o=U.S.

Government,c=US

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18

Stylesheet Version v18.0

Title of Invention	OPTICAL WAVEGUIDE SWITCH
Application Number:	09/835106 *09/835106*
Confirmation Number:	4209
First Named Applicant:	Dan Steinberg
Attorney Docket Number:	02-12
Art Unit:	2839
Examiner:	Michael C. Zarrol
Search string:	(4725114 or 4973127 or 5044711 or 5357590 or 5500911 or 6393174 or 6477303 or 6519382 or 20010041026 or 20030108272).pn.

82-12

US Patent Documents

Note: Applicant is not required to submit a paper copy of cited US Patent Documents

init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
	1	4725114	1988-02-16	Murphy			
	2	4973127	1990-11-27	Cannon, Jr. et al.			
	3	5044711	1991-09-03	Saito			
	4	5357590	1994-10-18	Auracher			
	5	5500911	1996-03-19	Roff			
	6	6393174	2002-05-21	Karaguleff et al.			
	7	6477303	2002-11-05	Witherspoon			
	8	6519382	2003-02-11	Jurbergs et al.			

US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

Information Disclosure Statement

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20010041026	2001-11-15	Steinberg et al.			
	2	20030108272	2002-06-12	Sherrer et al.			

Remarks

Note: Remarks are not for responding to an office action.

In the event a fee is required the Commissioner is authorized to charge any underpayment or credit any overpayment to the account of the undersigned attorneys, Account No. 04-1406.

Signature

Examiner Name	Date

Acknowledgement Receipt

Page 1

UNITED STATES PATENT AND TRADEMARK OFFICE
ACKNOWLEDGEMENT RECEIPT

Electronic Version 1.1
 Stylesheet Version v1.1.1

Title of Invention

OPTICAL WAVEGUIDE SWITCH

Submission Type: Information Disclosure Statement

09/835106

Application Number: 09/835106

EFS ID: 41461

Server Response:

Confirmation Code	Message
ISVR1	Successfully received the submission
ICON1	4209
ISYS5	Filename= N/A BusinessRule= Validation System/Function Call Information. #Supporting Msg: Server unable to validate the Confirmation/Application numbers at this time. They will be checked by PTO personnel later.

First Named Applicant: Dan Steinberg

Attorney Docket Number:

Timestamp: 2003-06-04 15:51:42 EDT

From: us

File Listing:

Doc. Name	File Name	Size (Bytes)
us-ids	optical-switch-master-usidst.xml	9085
us-ids	us-ids.dtd	7763
us-ids	us-ids.xsl	12026
package-data	optical-switch-master-pkda.xml	2258
package-data	package-data.dtd	27025
package-data	us-package-data.xsl	19263
Total files size		77420

Message Digest:

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Digital Certificate Holder
Name:cn=Niels Haun,ou=Registered Attorneys,ou=Patent and
Trademark Office,ou=Department of Commerce,o=U.S.
Government,c=US

Information Disclosure Statement

Page 1 of

ELECTRONIC INFORMATION DISCLOSURE STATEMENT

Electronic Version v18
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Title of Invention	OPTICAL WAVEGUIDE SWITCH						
Application Number:	09/835106				*09/835106*		
Confirmation Number:	4209						
First Named Applicant:	Dan Steinberg						
Attorney Docket Number:							
Search string:	(3864018 or 4165496 or 4176908 or 4210923 or 4225213 or 4296995 or 4325604 or 4407562 or 4415229 or 4639074 or 4756590 or 4900118 or 5123073 or 5135590 or 5179609 or 5181216 or 5185846 or 5297228 or 5337384 or 5379361 or 5390266 or 5461683 or 5499309 or 5500910 or 5555333 or 5566262 or 5568585 or 5602951 or 5611006 or 5623564 or 5778123 or 5785825 or 5901262 or 5909524 or 6045270 or 6056696 or 6064781 or 6101299 or 6118917 or 6160936 or 6234687 or 6328479 or 20020025107 or 20020146194 or 20020028037 or 20020025104).pn.						
US Patent Documents							
Note: Applicant is not required to submit a paper copy of cited US Patent Documents							
init	Cite.No.	Patent No.	Date	Patentee	Kind	Class	Subclass
1	3864018	1975-02-04		Miller			
2	4165496	1979-08-21		Di Domenico, Jr. et al.			
3	4176908	1979-12-04		Wagner			
4	4210923	1980-07-01		North et al.			
5	4225213	1980-09-30		McBride, Jr. et al.			
6	4296995	1981-10-27		Bickel			
7	4325604	1982-04-20		Witte			
8	4407562	1983-10-04		Young			
9	4415229	1983-11-15		McCullough			
10	4639074	1987-01-27		Murphy			
11	4756590	1988-07-12		Forrest et al.			
12	4900118	1990-02-13		Yanagawa et al.			
13	5123073	1992-06-16		Pimpinella			
14	5135590	1992-08-04		Basavanhally et al.			
15	5179609	1993-01-12		Blonder et al.			
16	5181216	1993-01-19		Ackerman et al.			
17	5185846	1993-02-09		Basavanhally et al.			

Information Disclosure Statement

Page 2 of

18	5297228	1994-03-22	Yanagawa et al.
19	5337384	1994-08-09	Basavanhally et al.
20	5379361	1995-01-03	Maekawa et al.
21	5390266	1995-02-14	Heitmann et al.
22	5461683	1995-10-24	Harman
23	5499309	1996-03-12	Kozuka et al.
24	5500910	1996-03-19	Boudreau et al.
25	5555333	1996-09-10	Kato
26	5566262	1996-10-15	Yamane et al.
27	5568585	1996-10-22	Kramer
28	5602951	1997-02-11	Shiota et al.
29	5611006	1997-03-11	Tabuchi
30	5623564	1997-04-22	Presby
31	5778123	1998-07-07	Hagan et al.
32	5785825	1998-07-28	Hwang et al.
33	5901262	1999-05-04	Kobayashi et al.
34	5909524	1999-06-01	Tabuchi
35	6045270	2000-04-04	Weiss et al.
36	6056696	2000-05-02	Kallman
37	6064781	2000-05-16	Seibold et al.
38	6101299	2000-08-08	Laor
39	6118917	2000-09-12	Lee et al.
40	6160936	2000-12-12	You et al.
41	6234687	2001-05-22	Hall et al.
42	6328479	2001-12-11	Schofield et al.

US Published Applications

Note: Applicant is not required to submit a paper copy of cited US Published Applications

init	Cite.No.	Pub. No.	Date	Applicant	Kind	Class	Subclass
	1	20020025107	2002-02-28	Heiks et al.			
	2	20020146194	2002-10-10	Sherrer et al.			
	3	20020028037	2002-03-07	Steinberg et al.			
	4	20020025104	2002-02-28	Steinberg et al.			

Signature

Examiner Name	Date
---------------	------

03/11/04 11:18 FAX 215 563 4044

DANN DORFMAN PHILA

057

Information Disclosure Statement

Page 3 of

The following papers have been received

In re Application of
STEINBERG

Appl. No.
09/835,106

Attorney Docket No.
R&H 02-12; DN: 51922
(ACT - 126/127)

For: Optical Waveguide Switch

IDS w/PTO-1449
§1.8 Cert. Of Mailing
Copies of Cited Refs.
Auth. to charge Dep. account

Patent and Trademark Office is respectfully requested to place its
STAMP on this POSTAL CARD and place it in the outgoing mail.

Mailed: 3/9/04

By: Niels Haun

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7 following papers have been received

In re Application of STEINBERG	Amendment and Reply
Appl. No.09/835,106	§1.8 Cert. Of Mailing Fee Transmittal (Dupl.)
Attorney Docket No. Shipley 02-12	\$148 Check
For: Optical Waveguide Switch	Auth. to charge dep. acct.
	Information Disclosure Statement with copies of references
	1449 Form

Patent and Trademark Office is respectfully requested to place its
STAMP on this POSTAL CARD and place it in the outgoing mail.

Mailed: 6/18/03 By: Niels Haun

